

Recovery Manual



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Table of Contents

Section 1 – Introduction.....	1
Foreword	1
Purpose.....	2
Authorities.....	3
Assumptions.....	3
Recovery Priorities.....	4
The Disaster Assistance Division (DAD)	5
Overview	5
Vision.....	5
Mission.....	5
Section 2 – Preparing for Recovery.....	6
Introduction.....	6
Education and Awareness	7
Continuity of Government Operations (COGO).....	9
Interagency Coordination.....	10
State Agency Administrative Orders (AOs)	11
Volunteers	14
CBOs.....	14
GOSERVE.....	15
Donations Management	15
Preparing for Cost Recovery.....	16
Section 3 –Requests for Disaster Recovery Programs.....	17
Introduction.....	17
Initial Damage Estimate (IDE)	17
Preliminary Damage Assessment (PDA)	18
Evaluation Process	18
Types of Recovery Programs	19
Introduction.....	19
Public Assistance (PA)	20
Individual Assistance (IA).....	25
Notification of Available Assistance	28
Section 4 – Recovery Functions	29
Introduction.....	29
Recovery Programs Application Flow Chart.....	30
Management.....	31
General Activities	31
Media	32
Legislative Liaison.....	32
Recovery Planning and Intelligence	33
General Activities	33
Event-specific Training.....	33
Situation Status and Planning Support.....	34
Mobilization/ Demobilization.....	34

After Action	34
Recovery Operations.....	35
General Activities	35
Grant Development.....	35
Grant Management.....	36
Post-disaster Safety Assessment Program (SAP)	36
Debris Management	37
Local Assistance Centers (LACs).....	38
Disaster Recovery Centers (DRCs)	38
Disaster Field Office (DFO)	39
State Management of Small Disasters Agreement.....	39
Expedited Funding for Immediate Needs	40
Interim and Long-term Housing	40
Programs Administration and Coordination.....	41
Logistics.....	44
General Activities	44
Staff Activation Team.....	44
Facilities Coordination.....	44
Staffing Plan.....	45
Communica-tions	45
Travel/ Transportation.....	45
Purchasing/ Procurement	45
Records Management.....	46
Records Retention.....	46
Finance/Administration.....	47
General Activities	47
Accounting of Grant Funds.....	47
Grantee Management Costs	48
Grantee Administrative Costs	48
Cost shares	49
Administrative Allowances.....	50
Retention.....	50
Payment Process	51
Payment Denial.....	52
Applicant Closeout.....	52
Audits.....	52
Grant Closure	53
Section 5 – Acronyms and References	54
Acronyms	54
References	56

Section 1 – Introduction

Foreword

Recovery activities are those necessary to restore services and systems to a state of normalcy. Recovery actions include damage assessment and those necessary to return health and safety systems (e.g., water) and services (e.g., acute health care) to minimum operating standards. Various recovery activities are likely to be long-term and may continue for many years.

The State Emergency Plan^I (SEP) describes the California Emergency Organization, the Standardized Emergency Management System (SEMS) and the responsibilities of state agencies for response and recovery operations.

This is the first supporting manual prepared by the Governor's Office of Emergency Services (OES) to describe in more detail the recovery activities coordinated and performed by the Disaster Assistance Division (DAD). These activities are necessary to coordinate and administer state and federal disaster recovery programs and to provide disaster relief to individuals and communities stricken by disaster. In addition to being consistent with the SEP, these activities are also consistent with federal disaster recovery guidance.

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Section 1 – Introduction, Continued

Purpose

This manual describes those actions taken by DAD in cooperation with other divisions of OES and other local, state and federal agencies to assist with California's recovery from any emergency situation or disaster that has exceeded the capabilities of local jurisdictions, including those caused by an act of terrorism or weapons of mass destruction.

This manual is intended to present an overview of disaster recovery planning and operations. The manual is not a detailed operational document; however, the following documents support this manual:

- The OES Strategic Plan^{II}
- The DAD's Strategic Plan^{III},
- The DAD's comprehensive workplan,
- Standard operating procedures,
- Position-specific duty statements,
- Policies and procedures.

State and local emergency managers may use this document as a reference for their own recovery planning and operational efforts.

This Manual is comprised of five parts:

- Section One describes the authorities for recovery operations and an overview of DAD;
- Section Two describes the process for recovery planning, including education and awareness, continuity of government, volunteers and donations management, State Administrative Orders (AOs), and cost recovery;
- Section Three describes the process for evaluating local requests for state and federal assistance, the types of available assistance authorized by the OES Director, the Governor, and those requiring a federal declaration;
- Section Four describes the general state strategy for recovery functions within the SEMS structure; and
- Section Five provides references to documents cited in this Manual.

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Section 1 – Introduction, Continued

Authorities

- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code, as amended (ESA)
- California Disaster Assistance Act, Chapter 7.5 of Division 1 of Title 2 of the Government Code, as amended (CDAA)
- Title 19, California Code of Regulations, Division 2, Chapter 6, Disaster Assistance Act (19 CCR)
- Public Law 93-288, Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (Stafford Act)
- Title 44, Code of Federal Regulations (44 CFR), Parts 9, 10, 11, 13, 14, 201 and 206

Assumptions

The following assumptions apply to this Manual:

- Readers of this manual are familiar with the SEP.
- Activities described herein:
 - ✓ will be utilized for all events with open disaster assistance applications;
 - ✓ will be implemented upon a newly declared disaster;
 - ✓ are intended to address all hazards; and
 - ✓ utilize mutual aid, as appropriate.
- Local government will commit their resources to a reasonable degree before requesting disaster recovery assistance from the state.
- Federal assistance will be requested when disaster relief requirements exceed the state's ability to meet them.
- Recovery programs as described in this manual include post-disaster hazard mitigation measures associated with federal Public Assistance as described in Section 406 of the Stafford Act.
- FEMA will approve the state's Hazard Mitigation Plan.^{IV}
- Long-term recovery may continue for many years.

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Section 1 – Introduction, Continued

Recovery Priorities

Special consideration is given to the following recovery priorities:

- evaluate initial damage estimates (IDEs) and conduct damage assessments as necessary to determine if state or federal disaster assistance is warranted;
 - prepare recommendations for the Director's and Governor's implementation of disaster recovery funding and other executive actions (e.g., emergency purchasing, extension of income tax filing deadlines);
 - expedite funding for:
 - ✓ debris removal from critical facilities and to protect life and property;
 - ✓ emergency protective measures or temporary restoration of public or private facilities that are essential to public health and safety (e.g., hospitals, water systems, sanitation, electricity and emergency road repair);
 - coordinate with agencies that provide temporary and long-term housing, unemployment benefits and crisis counseling;
 - coordinate with local government to establish Local Assistance Centers (LACs) to provide one-stop locations for victims seeking disaster assistance;
 - coordinate with FEMA and other appropriate federal agencies to establish Disaster Recovery Centers (DRCs) to assist victims seeking disaster assistance; DRCs may be established to complement or **in lieu** of LACs;
 - establish a Disaster Field Office (DFO), in coordination with the Federal Emergency Management Agency (FEMA), to administer federal disaster assistance programs for individuals and public agencies; and
 - maintain continuity of operations by providing on-going customer service for all open disaster applications.
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The Disaster Assistance Division (DAD)

Overview	Within OES, DAD manages disaster recovery operations by providing assistance to local governments and coordinating recovery programs for individuals and businesses impacted by disasters. DAD ensures that state and federal support are provided in an efficient and timely manner throughout the recovery process. OES is the grantee for federally funded disaster assistance programs, and grantor for the state California Disaster Assistance Act (CDAA) program. As such, DAD coordinates recovery assistance for individuals, businesses and the agricultural community. Additionally, DAD oversees hazard mitigation activities throughout California and provides technical support to reduce the costs and streamline the process of future recovery efforts. In support of these responsibilities, DAD performs extensive planning activities with local, state and federal agencies, legislators, various volunteer and non-profit organizations, as well as the general public.
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Vision	A safer future for all communities.
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Mission	To lead all communities in disaster preparedness, mitigation, and recovery by maximizing assistance and support.
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Section 2 – Preparing for Recovery

Introduction

During non-disaster periods, OES plans for and provides training and technical assistance to local government to prepare for recovery efforts and minimize future damage. OES provides available state and federal funding for local and state level hazard mitigation projects. As a prerequisite for receiving disaster assistance funding, OES developed a state hazard mitigation plan to meet federal requirements. This plan sets the state's priorities for preventing loss of life, property and preserving the environment.

Although hazard mitigation projects aim to reduce the level of suffering and damage, they will not eliminate it altogether. Therefore, OES plans for all response and recovery activities resulting from any disaster including natural, manmade, or an act of terrorism.

DAD maintains a core cadre of trained staff capable of the rapid expansion and mobilization necessary to meet the demands of any size recovery effort. DAD has designated disaster recovery representatives assigned to geographic areas within the state. The representatives have developed ongoing relationships with their respective local emergency management counterparts and are available to address and resolve recovery issues. In addition, DAD has developed several recovery planning documents including this manual, a strategic plan, a Recovery and Mitigation Handbook, and Disaster Field Office Procedures.

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Section 2 – Preparing for Recovery, Continued

Education and Awareness

OES provides education and awareness forums such as:

- Disaster Resistant California (annual spring conference) which:
 - ✓ Promotes public/private partnerships
 - ✓ Provides a forum for the exchange of risk assessment and risk reduction information
 - ✓ Presents best practice information regarding emergency management and homeland security issues
 - ✓ Provides a training and certification venue for OES, the International Association of Emergency Managers (IAEM), and the Disaster Recovery Institute International (DRII)
- Public Assistance Subgrantee Training Program which:
 - ✓ Provides technical training on state and federal recovery programs
 - ✓ Provides updates to laws, regulations, policies, practices, etc.
- Individual Assistance Training which:
 - ✓ Provides information on assistance for individuals, households, businesses, farmers and ranchers, on the state and federal recovery programs
 - ✓ Provides guidance on the purpose and establishment of a LAC.
- Safety Assessment Training Program which:
 - ✓ Provides technical training and subsequent registration of professional building inspectors for post-disaster safety evaluations of facilities
- SEMS Recovery Committee:
 - ✓ Provides quarterly updates on the state recovery strategies
 - ✓ Promotes the resolutions of disaster recovery issues
 - ✓ Develops recovery guides useful for emergency managers
- Mitigation Education and Marketing (MEAM) displays
- OES Web Site: www.oes.ca.gov (select Disaster Assistance or Hazard Mitigation).

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Section 2 – Preparing for Recovery, Continued

Internal Training and Exercises

DAD emphasizes internal training as the key to effective programs implementation. Internal training coordination includes developing and updating a comprehensive training plan and coordinating group trainings. A team coordinates and tracks all divisional staff training activities including:

- developing, reviewing and revising the Division Training Plan;
- previewing and selecting appropriate training classes;
- developing contracts with training vendors;
- reviewing and analyzing course evaluations;
- securing appropriate training facilities;
- providing input into curricula development; and
- tracking and reporting training expenditures.

All DAD staff receives core function training in the following subject areas:

- Emergency Management;
 - Public Assistance;
 - Hazard Mitigation;
 - Individual Assistance; and
 - Grants Management.
-

External Training and Exercises

DAD develops and conducts educational programs for current subgrantees, disaster victims, local and state agencies, private non-profit organizations, and other potential applicants. These external educational programs focus on regulatory requirements of disaster recovery programs, trends in emergency management activities, and standard technical practices such as building code standards and engineering requirements.

California state legislators and other state and federal agency representatives are updated on educational information to improve their understanding of California's approach to disaster recovery. External programs include briefings, presentations, workshops, exercises, and meetings hosted and attended by the Division. In addition, DAD staff coordinates conferences, develops and distributes publications, exhibits, videos, and participates in other public information support activities.

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Section 2 – Preparing for Recovery, Continued

Continuity of Government Operations (COGO)

Continuity of Government Operations (COGO) is an OES program designed to combine the components of Continuity of Government (COG) and Continuity of Operations (COOP) to create a consolidated and comprehensive effort. The COGO program ensures that during emergencies, OES can maintain essential internal functions while supporting external emergency response and recovery operations in support of local government. COG elements are described in detail within the State Emergency Plan. COGO includes an added emphasis on identifying essential functions; interoperable communications; and test, training and exercising. The basic COGO components are provided below:

1	Emergency concepts, actions and procedures provided in emergency plans and emergency action plans.
2	Identification and prioritization of essential functions.
3	Line of succession to essential positions required in an emergency.
4	Delegation of authority and pre-delegation of emergency authorities to key officials.
5	Emergency operations centers, alternate (work-site) facilities and alternate emergency operations centers.
6	Interoperable communications.
7	Protection of government resources, facilities and personnel.
8	Safeguarding vital records and databases.
9	Tests, training and exercises.

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Section 2 – Preparing for Recovery, Continued

Interagency Coordination

DAD establishes and maintains cooperative working relationships with key local, state and federal partners. These relationships enable DAD to develop program implementation agreements, policies, procedures, operational agreements, public notifications and guidance documents for communities in California. These documents are regularly reviewed, updated and revised based on current trends and practices.

The coordination activities ensure that disaster victims are provided all available assistance in the most efficient method possible. DAD participates in and facilitates meetings to:

- coordinate multiple agency program implementation;
- decrease duplication of effort; and
- make the best use of limited resources for disaster victims.

The Division represents California on national interagency task forces to develop laws and regulations regarding federal disaster assistance programs. DAD staff also ensures that governing state laws and regulations are reviewed and updated as necessary. In addition, DAD responds to inquiries and requests for information regarding interpretation and implementation of disaster recovery programs. Accordingly, staff is required to be knowledgeable about emergency management systems, various local, state and federal disaster assistance programs and the implementation of those programs.

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Section 2 – Preparing for Recovery, Continued

State Agency Administrative Orders (AOs)

To ensure state government's effectiveness, OES works with all state agencies and departments to update or develop AOs. The AOs outline the capabilities of each department as they relate to their role in implementing the State Emergency Plan including recovery activities.

The AOs describe each agency's potential emergency roles and responsibilities before, during, and after an emergency occurrence. For recovery activities, state agencies, through their AO are capable of:

- providing personnel, equipment and support to a DFO or LAC;
- assisting with preparation of repair scope, cost and method;
- coordinating with OES to identify sensitive environmental and historical sites that should receive priority consideration;
- providing public information support; and
- providing specific technical expertise.

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Section 2 – Preparing for Recovery, Continued

State Agencies Below are examples of the state partners with whom OES coordinates response and recovery activities:

- Department of Food and Agriculture
 - ✓ Implements pest eradication programs (e.g., Mexican Fruit Fly)
 - ✓ Coordinates assistance programs authorized by the U.S. Department of Agriculture
 - ✓ Coordinates animal health and safety issues, including removal and disposal of animal carcasses
- Department of Forestry and Fire Protection
 - ✓ Coordinates fire suppression on state land
 - ✓ Provides crews and equipment to assist with many disasters, including hazardous material spills, train wrecks, floods, earthquakes
- Department of Health Services
 - ✓ Implements disease eradication programs (e.g., West Nile Virus)
 - ✓ Addresses safe drinking water issues following an event
- Department of Mental Health
 - ✓ Administers FEMA funded disaster crisis counseling assistance and related training grants
 - ✓ Coordinates statewide mental health services
 - ✓ Provides assessment of need, service delivery, and technical assistance for associated federal grant application requirements
- Department of Social Services
 - ✓ Administers the State Supplemental Grant and Emergency Food Programs
 - ✓ Supports counties with mass care and shelter programs, and the federal grant recovery programs for individuals and households
- Department of Transportation
 - ✓ Coordinates repair of state highways and federal online road systems
 - ✓ Administers the Federal Highway Administration's (FHWA) Emergency Relief Program
- Department of Water Resources
 - ✓ Coordinates levees and flood control compliance
 - ✓ Coordinates the federal emergency fund administered by the U.S. Army Corps of Engineers to provide funding for damage repair to levee systems [Public Law 84-99 (33 U.S.C. 701-n)]
- Emergency Medical Services Authority
 - ✓ Coordinates medical mutual aid by providing medical resources to local governments, including the identification, acquisition and deployment of medical supplies and personnel
- State Controllers Office
 - ✓ Issues and mails checks to grant recipients
 - ✓ Performs program audits

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Section 2 – Preparing for Recovery, Continued

Federal Agencies

Below are examples of the federal partners with whom OES coordinates recovery activities:

- FEMA / Department of Homeland Security
 - ✓ Provides grants to public agencies, private nonprofit organizations and individuals
- U.S. Forestry Service
 - ✓ Provides recommendations for FEMA's implementation of the Fire Management Assistance Grant (FMAG) program
 - ✓ Coordinates fire suppression on Federal land
- U.S. Department of Agriculture
 - ✓ Administers emergency loans to farmers and ranchers for agricultural losses
- Small Business Administration
 - ✓ Administers disaster loans for businesses and individuals
- U.S. Army Corps of Engineers
 - ✓ Repairs damage to federal levees and water control facilities
- U.S. Bureau of Land Management
 - ✓ Administers disaster program for natural streambeds and watersheds
- Federal Highways Administration
 - ✓ Administers disaster program for federal online road systems
- U.S. Department of Housing and Urban Development
 - ✓ Provides Community Development Block Grants to public agencies

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Section 2 – Preparing for Recovery, Continued

Volunteers

Local Disaster Councils are accredited by the California Emergency Council to provide for local emergency organizations, provide emergency authorities to local officials, develop local emergency plans, and oversee local disaster service worker (DSW) volunteer programs. These programs provide training and DSW registration for volunteers. The DSW volunteers may be deployed during local emergencies and major disasters to provide a variety of assistance.

OES administers the Disaster Service Worker Volunteer Program (DSWVP), which provides workers' compensation benefits and medical compensation benefits to registered DSW volunteers.

Pursuant to state law, all public employees are also DSWs; as such, they may be tasked by their current organization to perform emergency related duties outside the course and scope of their regular employment. In this scenario, the public employee continues to be paid by their employer. A public employee, however, may receive training and become registered as a DSW volunteer. As such, the public employee could participate in emergency operations, as a DSW volunteer, but would not receive payment for services provided.

CBOs

CBOs have a significant role in the disaster recovery of a community. DAD invites CBOs to participate in disaster recovery coordination activities including the SEMS Recovery Committee meetings and focus groups.

DAD encourages all agencies to establish and maintain cooperative relationships with CBOs to ensure that the disaster recovery needs of the community are fully addressed. As an example of the services, CBOs may manage the operation of LACs through a contract with the local jurisdiction.

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Section 2 – Preparing for Recovery, Continued

GOSERVE

The Governor's Office on Service and Volunteerism (GOSERV) is responsible for promoting volunteerism within California through the development and implementation of the federal Citizen Corps and Americorps programs. GOSERV connects people with volunteer opportunities in their communities and provides training to ensure quality and innovation in service and volunteerism. GOSERV plans for and is building a comprehensive and integrated service and volunteerism system throughout California. A network of local Citizens Corps Councils and Community Emergency Response Teams (CERTs) provides training and networking to prepare neighborhood organizations to take a more active role in planning for and responding to disasters and other emergencies. An array of related volunteer efforts, such as volunteers in police service (VIPS), neighborhood watch, and medical reserve corps, also augment the collaborative Citizens Corps volunteer efforts underway at the local level. Many Citizen Corps volunteers register with their local disaster council to offer their services to their local government; once registered they become eligible for DSWVP benefits.

Donations Management

Donated goods and services are typically handled at the local level. However, when local government becomes overwhelmed in managing donations, local agencies may request OES assistance through the State Operations Center in accordance with the state's Donations Management Procedures.^V

OES does not accept cash donations. In the event of a disaster, OES encourages all private and public donations be provided to reputable charity organizations.

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Section 2 – Preparing for Recovery, Continued

Preparing for Cost Recovery

OES has established a disaster cost recovery tracking system, which has been in place for several years and has been accepted by FEMA. DAD ensures that all federal funding is received for eligible work performed by Division staff during a disaster. At a minimum, the OES Automated Time Reporting System tracks the following information by disaster:

- employee name and title;
- date worked;
- duties performed;
- number of hours worked;
- hourly wage (regular and overtime).

OES also documents and monitors other disaster-related expenditures (e.g., travel, contracts) by an event-specific ‘PCA’ code.

DAD also provides training and assistance to local governments for:

- establishing documentation/accounting responsibility and authority;
 - documenting accounting procedures;
 - establishing coordination with OES; and
 - tracking disaster-related expenses.
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Section 3 –Requests for Disaster Recovery Programs

Introduction When conditions exist which pose an extreme peril to life and property and is beyond the effective response capabilities of a local jurisdiction, a city or county may proclaim a local emergency and request that the state implement or coordinate financial disaster recovery programs.

Initial Damage Estimate (IDE) Local jurisdictions are required by SEMS to provide IDEs via the online Response Information Management System (RIMS). Accurate and current IDEs should be provided concurrently with requests for assistance by local jurisdictions.

Typically, regional OES staff work with the local jurisdictions to ensure that accurate and current disaster information is captured within RIMS. The IDE provides information necessary for DAD to determine if state and/or federal disaster assistance is warranted and what external resources are needed. The information provided by local government should include:

- type and extent of public and private sector damage;
- basic repair and emergency response costs; and
- any acute public health issues.

If the available IDE information appears inaccurate based on the known magnitude of the event or if the information appears out-of-date, DAD staff may be required to verify the information, through the Preliminary Damage Assessment (PDA) process outlined on the following page.

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Section 3 –Requests for Disaster Recovery Programs, Continued

Preliminary Damage Assessment (PDA)

Depending on the magnitude of a disaster, a PDA may be necessary. A PDA may also be necessary to verify IDE information as discussed above.

A PDA is a comprehensive report completed by a team of local, state and/or federal representatives in cooperation with the affected local government and the private sector. The representatives may include local public works staff, OES or SBA program staff. The PDA is used to determine the level of state and/or federal assistance required. PDA information includes:

- specific damaged sites, including facility type (e.g., school, road, private residence);
- insurance and maintenance records of damaged facilities;
- damage description and repair estimates; and
- local government's budget reports.

If federal assistance is required, OES must submit a request to the President **within 30 days of the disaster occurrence**. The request must be accompanied by a joint OES/FEMA PDA. Accordingly, OES will request FEMA's assistance and complete the joint PDA as soon after the event as practical.

In special circumstances when the magnitude of the event warrants, the President may declare an emergency or major disaster prior to completion of a PDA. However, a PDA still requires completion in order to establish the level of financial assistance required by the state and federal governments.

Evaluation Process

Consistent with SEMS, local government should provide all requests for disaster recovery assistance to the Operational Area (OA). OES Regions are the first line reviewers of requests for disaster assistance from local government. Accordingly, the Regions must complete a "Local Proclamation" form utilizing the RIMS database. This form includes the Regional Analysis, which DAD utilizes to evaluate the need and appropriate level of state and/or federal assistance warranted. DAD provides its recommendation to the OES Director for approval.

Types of Recovery Programs

Introduction

DAD administers and coordinates numerous state and federal Public Assistance, Fire Management Assistance Grant and Individual Assistance Programs. The chart below provides an overview of the programs discussed in this section, indicates local, state and federal proclamation/declaration requirements, and program implementation criteria.

Program and Type of Assistance	Local	State	Federal	Program Implementation Criteria
FMAG: fire suppression	No	No	Yes	The uncontrolled fire must threaten such destruction as would constitute a major disaster.
State PA - Director's Concurrence: restoration of public infrastructure only	Yes	No	No	The event must be beyond the control/capabilities of the local jurisdiction.
State PA - Governor's Proclamation: response and restoration costs	Yes	Yes	No	The event must be beyond the control/capabilities of the local jurisdiction.
Federal PA - Major Disaster: response and restoration costs	Yes	Yes	Yes	The state must request within 30 days of the occurrence; demonstrate that necessary actions are beyond the state's capability and damages must meet the per capita threshold and/or other criteria defined in federal regulations.
Federal PA - Emergency: response costs only	Yes	Yes	Yes	The state must request within 5 days after the need becomes apparent; must demonstrate that effective response is beyond the state's capability and that federal assistance is necessary to save lives and protect health, safety, and property.
Federal IHP: grants to individuals for necessary expenses or serious needs	Yes	Yes	Yes	May be implemented upon a Presidential declaration. There is no set threshold; however, FEMA considers such criteria as concentration of damages, trauma, special populations, etc.
SSGP: supplemental grants beyond IHP	Yes	Yes	Yes	Administered by DSS and only implemented when Federal IHP is activated.
SBA EIDL: working capital loans for small businesses	No	No	Yes	May be independently implemented when at least 5 small businesses have suffered economic injury and other assistance is not otherwise available; may be implemented under an USDA designation; and may be implemented under SBA physical declarations.
SBA Physical Disaster Loan Program: real and personal property loans	No	No	Yes	May be independently implemented when at least 25 homes and/or 3 businesses have suffered 40% uninsured losses; may also be implemented upon a Presidential declaration.
USDA Disaster Designation: crop production loss loans	No	No	Yes	May be made available to farmers/ranchers who have suffered at least 30% crop production loss or a physical loss to livestock products, real estate or chattel property. USDA can implement this program when requested by OES on behalf of a local agricultural commissioner or local government authority.
Crisis Counseling Programs: referral services and short-term counseling	Yes	Yes	Yes	Funded by FEMA and administered by DMH to provide short- or long-term (up to 9 months) benefits.
Disaster Unemployment Assistance: weekly benefits	Yes	Yes	Yes	May be implemented by the Department of Labor upon a Presidential declaration to provide up to 26 weeks of unemployment benefits.

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Types of Recovery Programs, Continued

Public Assistance (PA)

DAD is responsible for administering state and federal PA programs. When a request for state or federal assistance is received, staff must evaluate the request, determine the appropriate state/federal program(s), and provide recommendation to the Director for implementation of those programs.

Dependent on the size and scope of the event, the following programs may become available to provide disaster recovery assistance to public agencies:

State PA

Pursuant to California Disaster Assistance Act (CDAA), OES provides funding to eligible applicants for disaster response and/or disaster recovery repair/restoration projects under a director's concurrence or a Governor's proclamation of a state of emergency. CDAA provides up to 75 percent of eligible costs and the applicant must fund the non-state share.

Qualifying applicants for state PA:

- local government;
- county office of education;
- community college district;
- school district; and
- special district.

Note: State agencies and private non-profit organizations are not eligible for assistance under CDAA.

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Types of Recovery Programs, Continued

Director's Concurrence

The OES Director may provide financial assistance to repair and restore damaged public facilities and infrastructure. A proclamation of a local emergency must be issued **within 10 days of the incident** and acceptable to the Director.

Once DAD verifies the damage, a recommendation is forwarded to the Director for action. If a Director's Concurrence is issued, DAD:

- notifies the local jurisdiction by letter;
- schedules applicant briefings; and
- notifies potential grant recipients of the application process, including the date of the 60-day deadline to apply for disaster assistance through CDAA (the Director may extend this deadline because of unusual circumstances).

Once grant requirements are met, DAD staff will perform the activities outlined in Operations (Section 4), of this manual, including:

- obligating funding through the state emergency account;
- preparing payment schedules; and
- requesting that the State Controller's Office issues warrants.

Emergency response costs (e.g., overtime for police and fire personnel), emergency protective measures (e.g., sandbagging) and debris removal are not eligible for reimbursement with a Director's Concurrence.

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Types of Recovery Programs, Continued

Governor's Proclamation

In accordance with a Governor's proclamation of a state of emergency and upon order of the Governor, the CDAA authorizes the OES Director to provide financial relief for emergency actions and permanent restoration of public facilities and infrastructure. A proclamation of a local emergency must be issued **within 10 days of the incident** and acceptable to the Director.

Once DAD verifies the damage, a recommendation is forwarded to the Governor for action. If the Governor proclaims a state of emergency, DAD:

- notifies the local jurisdiction by letter;
- schedules applicant briefings; and
- notifies potential grant recipients of the application process including the 60-day deadline to apply for disaster assistance through CDAA.

Once grant requirements are met, DAD staff will perform the activities outlined in Operations (Section 4), of this manual, including:

- obligating funding through the state emergency account;
 - preparing payment schedules; and
 - requesting that the State Controller's Office issue warrants.
-

Requests for Federal PA

When the response and recovery activities of a disaster or emergency event are beyond the capabilities of the state, the Governor may request a federal declaration. The request will be submitted to the President through the Regional Director (RD) of FEMA, Region IX **within 30 days of the event**. In considering the state's request, FEMA considers factors such as the Preliminary Damage Assessment, the per capita estimated cost of assistance, localized impacts and concentration of damages, insurance coverage in force, recent disasters and past or current hazard mitigation activities.

When a federal declaration request is denied, the Governor may appeal the decision **within 30 days of the date of the letter denying the request**. An appeal will be submitted to the President through the RD in accordance with federal requirements. An appeal must include justification and any additional/appropriate information ascertained after the initial request was submitted.

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Types of Recovery Programs, Continued

Federal PA

Pursuant to the Stafford Act, FEMA provides funding through OES to eligible applicants for disaster response and/or repair projects under a Presidential declaration of an emergency or major disaster. Requests for federal PA must be accompanied by a Governor's proclamation of a state of emergency. Once approved by the President, FEMA funds at least 75 percent of eligible project costs; the California Disaster Assistance Act (CDAA) funds up to 75 percent of the non-federal share; and the applicant must fund the remaining project costs.

Qualifying applicants for federal PA:

- State governmental agencies*
- Local governmental agencies
 - ✓ cities
 - ✓ counties
 - ✓ educational institutions
 - ✓ special districts
- Private non-profit organizations (PNPs) that provide "critical services"*

*State agencies and PNPs are not eligible for CDAA funding. Therefore, these agencies must fund 100 percent of the entire non-federal share using their own resources. State agencies are required to coordinate with the state Department of Finance for any budget deficiencies resulting from a disaster.

Eligible PA Costs – Major Disaster

Under a major disaster declaration, FEMA may fund eligible PA costs associated with the following:

- limited debris removal to protect health and safety;
 - emergency work (overtime for emergency services, police and fire personnel);
 - emergency protective measures (sandbagging, shoring);
 - permanent restoration of public facilities (buildings, roads, utilities);
 - PNP facilities that provide "critical services" (water and sewer systems, emergency medical care);
 - hazard mitigation activities associated with damaged facilities (seismic retrofit, elevation projects).
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Types of Recovery Programs, Continued

Eligible PA Costs – Emergency

Under an emergency declaration, FEMA may fund eligible PA costs associated with the following:

- limited debris removal based on public health and safety;
- emergency work (overtime for police and fire personnel);
- emergency protective measures (sandbagging, shoring).

Fire Management Assistance Grant (FMAG)

Pursuant to the Stafford Act, FEMA may fund eligible fire suppression costs. An FMAG declaration must be requested while a fire is burning uncontrolled. Such fires must threaten destruction as would constitute a major disaster. Once approved by the President, FEMA funds 75 percent of eligible costs; the applicant must fund the entire non-federal share.

Qualifying applicants:

- state agencies; and
- local governmental agencies.

Other Direct Federal Assistance

Upon a declaration of an emergency or major disaster, the following federal agencies may also implement disaster assistance programs for state and local governmental agencies.

Federal Agency	Administering Agency	Type
Federal Highways Administration	California Department of Transportation (Caltrans)	federal aid system road repair
Natural Resources Conservation Service (NRCS)	NRCS	watershed restoration
U.S. Department of Housing and Urban Development	California Housing and Community Development	un-funded projects that benefit the community

DAD staff coordinates with the administering agency to ensure notification of program implementation. Once notified by the administering agency, DAD staff prepares a state Damage Survey Report (DSR) to provide a cost-share to eligible applicants under CDAA. The DSR is not funded however, until the administering agency notifies DAD of project completion and the final eligible costs.

Continued on next page

Types of Recovery Programs, Continued

Individual Assistance (IA)

DAD is responsible for coordinating state and federal disaster assistance programs for private entities. When a request for state or federal assistance is received, DAD must evaluate the request, determine the appropriate state/federal program(s), and provide recommendation to the Director for implementation of those programs.

Requests for Federal IHP

When the response and recovery activities of a disaster or emergency event are beyond the capabilities of the state, the Governor may request a federal declaration. The request will be submitted to the President through the Regional Director (RD) of FEMA, Region IX **within 30 days of the event**. In considering the state's request, FEMA considers factors such as the concentration of damages, trauma, special populations, voluntary agency assistance, and average amount of individual assistance by state.

When a federal declaration request is denied, the Governor may appeal the decision **within 30 days of the date of the letter denying the request**. An appeal will be submitted to the President through the RD in accordance with federal requirements. An appeal must include justification and any additional/appropriate information ascertained after the initial request was submitted.

Individuals and Households Program (IHP)

In cooperation with DAD, IHP is administered by FEMA and may provide grants and/or direct assistance to individuals for:

- temporary housing;
- repair or replacement of homes/residences;
- permanent housing construction;
- medical, dental, and funeral expenses;
- personal property;
- transportation; and
- other expenses.

In 2004, the maximum grant available is \$25,600. This amount is adjusted annually based on the Consumer Price Index and published in the Federal Register.

Continued on next page

Types of Recovery Programs, Continued

Other IA Programs

DAD staff coordinates with other state and federal administering agencies to ensure appropriate programs are implemented following a disaster. Dependent on the size and scope of the event, the following programs may become available to provide disaster recovery assistance to the private sector:

State Supplemental Grant Program (SSGP)

SSGP is administered by the Department of Social Services and may provide additional grant funds to individuals and households. The SSGP is reserved for individuals and households that have unmet needs and have already received the maximum level of federal individual assistance as available through IHP described above. The maximum SSGP grant available is currently \$10,000. This amount remains static unless state legislation is amended to increase the maximum grant allowance.

U.S. Small Business Administration (SBA)

SBA disaster loans may be made available to individuals for:

- personal property;
- real estate; and
- mitigation measures.

In 2004, the maximum loan amount available is \$200,000 for real property and \$40,000 for personal property. These amounts are adjusted annually based on the Consumer Price Index and published in the Federal Register.

Under an SBA declaration, disaster loans may also be made available to business owners for:

- physical losses; and
- economic injury.

In 2004, the maximum loan available is \$1.5 million. This amount is adjusted annually based on the Consumer Price Index and published in the Federal Register.

Continued on next page

Types of Recovery Programs, Continued

Disaster Unemployment Assistance (DUA)

The California Employment Development Department (EDD) administers DUA, which may provide financial assistance and employment services to jobless workers and the self-employed as a direct result of a major disaster declaration. Eligibility for DUA includes persons affected by the disaster who are unable to establish a valid 'regular' state Unemployment Insurance claim. DUA may provide up to 26 weeks of unemployment benefits.

Crisis Counseling

The California Department of Mental Health (DMH) administers the federal crisis counseling programs, which may provide funding to county mental health departments. These programs fund short/long term intervention counseling for emotional and mental health problems caused or aggravated by the disaster. DMH has developed a comprehensive "Crisis Counseling Plan"^{VI}, which describes the local and state system and responsibilities for crisis counseling following a disaster."

Assistance for Farmers and Ranchers

Under a disaster designation by the U.S. Department of Agriculture (USDA), emergency loans may be made available to farmers, ranchers, and aqua culturists for:

- damage to farm property; and
- loss of crop production.

In 2004, the maximum loan available is \$500,000. This amount is adjusted annually based on the Consumer Price Index and is published in the Federal Register.

Note: In response to a USDA designation, SBA may also implement the Economic Injury Disaster Loan (EIDL) program for small, non-farm businesses and small agriculture cooperatives.

Notification of Available Recovery Programs

Notification of Available Assistance

When state or federal disaster assistance become available, OES utilizes the processes outlined below:

Type of Assistance	Process
Federal Assistance to Individuals, Households, Businesses, Farmers and Ranchers	<ol style="list-style-type: none"> 1. Federal agency shall notify the Governor and OES. 2. DAD shall notify the OES Region, Operational Area (OA) and county chairperson or city emergency services coordinator and mayor. 3. DAD and OA shall publicize the programs available and provide contact phone numbers for applicants.
State Public Assistance to governmental entities	<ol style="list-style-type: none"> 1. OES (Region) shall notify OA. 2. OA will notify local cities, and school districts. 3. DAD shall coordinate applicant briefings with the Region(s) and the OA(s). 4. Information on how to apply for funding will be provided at the applicant briefings and via U.S. mail.
Federal Public Assistance to governmental entities	<ol style="list-style-type: none"> 1. Federal agency shall notify the Governor and OES. 2. DAD shall notify Region, OA and state agencies. 3. OA shall notify local cities, and school districts. 4. DAD shall coordinate applicant briefings with the Region(s), OA(s), and FEMA. 5. Information on how to apply for funding will be provided at the applicant briefings and via U.S. mail.

Section 4 – Recovery Functions

Introduction

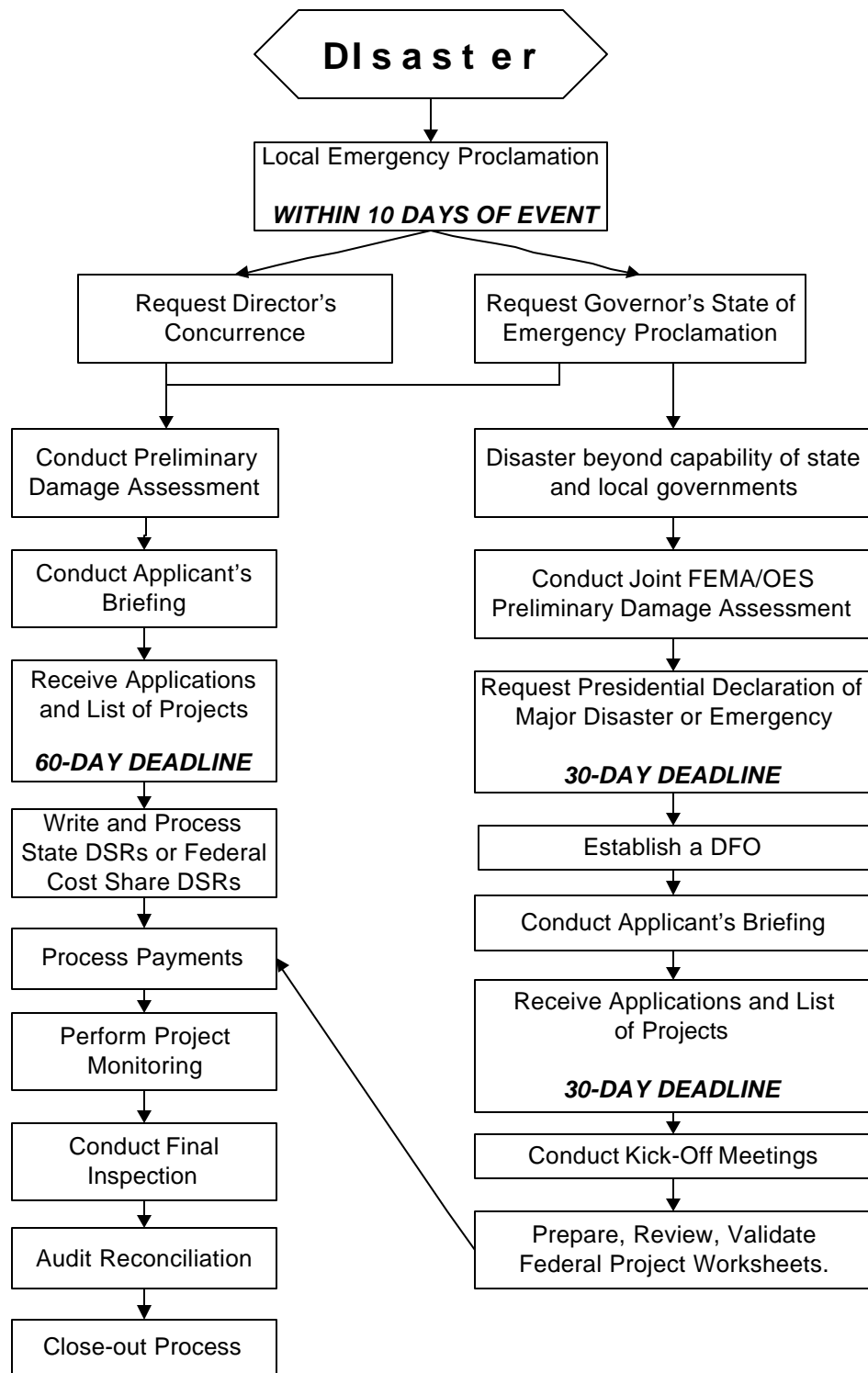
The activities outlined in this section are performed for those events that exceed the capabilities of local government and require state or federal disaster assistance. Due to the complexity and variety of the programs that OES administers and coordinates, DAD staff must provide continued and comprehensive assistance to all of its customers.

During a disaster, recovery activities may begin simultaneously with response operations. Based on the magnitude of the event, recovery operations may continue for years following a disaster. Recovery functions are described in this Manual using the Standardized Emergency Management System (SEMS):

- Management
- Planning/Intelligence
- Operations
- Logistics
- Finance/Administration

The flow chart on the following page illustrates the life of a disaster assistance recovery program.

Recovery Programs Application Flow Chart



Management

General Activities

The Management activities provide for overall guidance, decision-making, and supervision of all recovery operations. Management activities ensure that all operations are performed in accordance with published policies and other directives of OES. In the event of a Presidential declaration, Management activities must also ensure that recovery operations are performed in cooperation with FEMA and other participating federal agencies, and in compliance with all federal program requirements.

Activities of the Management function include:

- coordinating with OES Director, State Operations Center (SOC) and Regional Emergency Operations Center (REOC) Directors, other branch chiefs within OES, Disaster Field Office (DFO) personnel and federal representatives, including the State Coordinating Officer (SCO), and FEMA's Federal Coordinating Office (FCO) and Disaster Recovery Manager (DRM), etc.;
- establishing policies, priorities and overall direction for recovery operations, including the need for expedited funding;
- developing FEMA-State Agreements and program-specific State Administrative Plans in the event of a Presidential declaration;
- invoking Administrative Orders and mutual aid to obtain assistance from other state agencies as necessary;
- providing elected officials briefings on critical events and issues;
- ensuring proper safety and security of facilities are maintained; and
- ensuring after action evaluation is conducted and utilized in future recovery and hazard mitigation planning activities.

Continued on next page

Management, Continued

Media

In cooperation with the OES Information and Public Affairs Office, Management:

- ensures responses to press inquiries are coordinated in accordance with media procedures;
 - prepares and releases accurate, consistent and timely public and media announcements regarding available disaster assistance programs, as necessary;
 - coordinates and produces disaster-related videos as informational tools;
 - coordinates with OES Director, SOC and REOC Directors, SCO, and other branch chiefs within OES, to identify any public information issues or media needs; and
 - coordinates with federal representatives of the Joint Information Center (JIC) in the event of a federal declaration.
-

Legislative Liaison

In cooperation with the OES Legislative Affairs Office, Management:

- monitors the impact of state and federal legislation affecting recovery and mitigation programs;
 - identifies any legislative actions necessary to improve recovery and mitigation processes;
 - conducts briefings with California Legislators, as necessary;
 - coordinates with FEMA's Congressional Office in the event of a federal declaration; and
 - coordinates and prepares responses to all legislative inquiries.
-

Recovery Planning and Intelligence

General Activities

The activities of the Recovery Planning and Intelligence function include:

- initial planning activities of a Disaster Field Office (DFO);
 - coordinating and completing information and planning activities at the DFO in cooperation with FEMA's Intelligence and Planning Unit.
 - evaluating and disseminating recovery information;
 - tracking disaster information;
 - managing GIS resources as an information tool;
 - researching and responding to correspondence and inquiries relating to program plans and guidance documents; and
 - updating this Manual, the DAD Workplan, standard operating procedures and State Administrative Plans.
-

Event-specific Training

DAD will ensure that staff is provided the training necessary to effectively implement the appropriate recovery program(s). DAD will also ensure that potential applicants, disaster victims, local and state agencies and PNPs are provided the necessary information to obtain state or federal disaster assistance.

In addition to pre-disaster training (see Section 2, Preparing for Recovery), event-specific training may also be necessary. Post-disaster educational programs focus on regulatory requirements of disaster recovery programs, trends in emergency management activities, and current technical requirements such as engineering and building code standards. Examples of post-disaster training classes include:

- FEMA Operations;
 - National Emergency Management Information System (NEMIS);
 - event-specific program implementation (e.g., policies, procedures);
 - debris management;
 - documentation and audit requirements;
 - environmental and historical issues in disasters;
 - Individual Assistance training, including LAC establishment; and
 - Public Assistance training, may include small project worksheet development, benefit-cost analyses, eligibility requirements, etc.
-

Continued on next page

Recovery Planning and Intelligence, Continued

Situation Status and Planning Support The Situation Status and Planning Support function requires staff to collect, analyze, process and disseminate disaster recovery information on the program specific issues and the overall disaster. Activities include:

- preparing Situation Reports;
- preparing Action Plans;
- facilitating various meetings for DFO activities, including action planning, staff coordination, etc.; and
- participating in meetings with FEMA and other federal representatives in the event of a federal declaration.

Mobilization/Demobilization The Mobilization/Demobilization function requires staff to mobilize, monitor and demobilize a DFO. In coordination with Logistics, demobilization activities include:

- prepare demobilization plan;
- release personnel;
- return equipment to DAD inventory; and
- terminate DFO operations.

After Action OES must complete an after action report **within 120 days after each declared disaster**. DAD may be requested to provide information for this report to identify recovery issues and accomplishments that resulted from disaster recovery operations. Staff are responsible for:

- gathering after action information from all participants of recovery functions;
- developing the after action report; and
- incorporating recommendations for operational improvements.

After action recommendations may lead to more successful recovery operations in future events.

Recovery Operations

General Activities

DAD directly administers state funds by authority of CDAA. Disasters proclaimed under the CDAA will be administered in accordance with state laws, regulations and policies.

In addition, OES serves as the grantee for the federal Public Assistance, Hazard Mitigation, and Fire Management Assistance Grant Programs authorized by the Stafford Act. These federal programs will be administered in accordance with the approved State Administrative Plans^{VII} and applicable federal plans. These plans specify the state and federal roles and responsibilities and partnership required for program implementation.

OES also administers federal grants for terrorism preparedness, response, and recovery activities.

Both the state and federal grant programs, provide funding to public agencies for disaster response and recovery costs, as well as for projects that will reduce future damage to property and injury to the public. As administrator of the state CDAA grants and grantee of the federal Stafford Act grants, DAD presides over the disaster recovery, hazard mitigation, and terrorism grant processes for qualified applicants including state and local agencies, school districts, public utilities and certain private non-profit organizations. OES has developed a systems approach to the management of all grants.

In addition to the programs directly administered by OES, DAD has responsibility for coordinating numerous local, state and federal programs dedicated to providing disaster recovery assistance to private entities. DAD coordinates with the appropriate agencies to develop implementing policies, plans, procedures, federal agreements, public notifications and guidance documents for impacted communities in California. Examples of these programs include Federal Assistance for Individuals and Households Program (IHP), unemployment benefits, crisis counseling, and temporary housing, etc.

Grant Development

DAD staff assists the office and local government with development of a variety of grant proposals. This involves the completion of grant applications and the research and analysis of all supporting documentation including fiscal analyses. Staff also develops guidance documents for applicants and grant recipients.

Continued on next page

Recovery Operations, Continued

Grant Management

DAD staff perform the following grant management activities:

- application processing;
 - project eligibility reviews and determinations;
 - technical assistance;
 - database management;
 - grant project closeout including reconciliation of costs; and
 - program implementation and coordination, including performance monitoring and reporting.
-

Post-disaster Safety Assessment Program (SAP)

Immediately following a disaster, it is imperative that public and private structures be evaluated for safety. The Safety Assessment Program (SAP) provides volunteer building officials, engineers or architects to local governments to assist with the evaluations of facilities (buildings and infrastructure) following a disastrous event. These assessments are:

- performed to determine use and occupancy; and
- not intended to identify or quantify damage.

SAP resources are coordinated by the OES Statewide SAP Coordinator utilizing the Incident Command System (ICS) structure of the Standardized Emergency Management System (SEMS). The Statewide Coordinator's responsibilities also include:

- oversight and monitoring of SAP training classes;
- issuance of registration and identification cards, as required; and
- certification of SAP Evaluator trainers through train-the-trainer program.

For additional SAP information:

- access the OES Web site;
 - contact the Statewide Coordinator at (916) 845-8265; or
 - review the "Procedures for Postearthquake Safety Evaluations of Buildings" (ATC-20).^{VIII}
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Continued on next page

Recovery Operations, Continued

Debris Management

OES emphasizes the effective management of disaster debris through the promotion of planning activities at the state and local level. Planning for debris management emphasizes the reduction of environmental and economic impacts through effective coordination of local, state and federal interagency partnerships. The state strategy also seeks to optimize the use of limited resources through the standardization of operational procedures and facilitating the exchange of information, related training and technical assistance.

The goal of these strategies is to provide local jurisdictions with timely information to meet all state and federal laws and regulations and maximize reimbursements from state and federal grants.

The core components of the state disaster debris management strategy include:

- promoting planning;
- coordinating with local, state and federal agencies;
- incorporating standard operating procedures;
- utilizing disposal alternatives:
 - ✓ optimize the use of limited resources
 - ✓ develop environmentally sound strategies;
- providing training and technical assistance regarding regulations, guidelines and policies; and
- maximizing reimbursement under a Governor's proclamation of a state of emergency or federal declaration of a major disaster.

Continued on next page

Recovery Operations, Continued

Local Assistance Centers (LACs)

LACs are one-stop-shop centers that have proven to be a key factor for a successful recovery. LACs are established in order to provide a wide array of services at one location to minimize the burden and maximize available assistance for disaster victims. LAC characteristics generally include:

- one-stop-shop for recovery information, services and programs;
- locally managed;
- state funded; and
- local, state, federal and community based organizations (CBO)

DAD staff may be required to establish or participate in LACs. DAD also provides continual guidance and encourages local government to create these service centers. Division staff coordinated the development of the OES “Guide for Establishing a Local Assistance Center^{IX}.” This document provides detailed information on establishing and managing a LAC and may be accessed at the OES Web site.

Disaster Recovery Centers (DRCs)

DRCs may also be activated to provide convenient locations for victims and private non-profit organizations to obtain information about FEMA and SBA programs. DRC characteristics generally include:

- fixed or mobile resource facility for FEMA and SBA recovery information;
 - managed by federal government; and
 - staffed by FEMA, State OES, SBA and other federal agencies, as appropriate.
-

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Recovery Operations, Continued

Disaster Field Office (DFO)

The DFO is a temporary facility that is usually established near the disaster area. The facility provides a location for state and federal counterparts to administer and coordinate the disaster assistance programs for a particular event. DFO activation may occur immediately following a Presidential declaration of a major disaster or emergency. Upon a Presidential declaration, FEMA appoints a Federal Coordinating Officer (FCO); the Governor simultaneously designates a State Coordinating Officer (SCO). The SCO is responsible for coordinating state and local assistance efforts with the FCO. Upon a Presidential declaration, the Governor must also designate a Governor's Authorized Representative (GAR). The GAR is responsible for the overall administration of the implemented programs in compliance with all federal requirements.

The DFO staff coordinates the administration of disaster relief activities including those of the American Red Cross, Salvation Army and other voluntary organizations. The size and extent of DFO operations depends on specifics of the event, such as magnitude, geographical distribution, etc. Should the state experience simultaneous disasters, a DFO may be established for each emergency situation.

State Management of Small Disasters Agreement

At DAD's recommendation, OES may request to manage the federal PA program under the State Management of Small Disasters initiative. In these cases, OES will enter into an "Operational Agreement" with FEMA. The Operational Agreement will define the roles, responsibilities, policies and procedures specific to the declaration. The Agreement will be managed and administered by DAD staff.

Continued on next page

Recovery Operations, Continued

Expedited Funding for Immediate Needs

Both the state and federal PA programs recognize that local government may have a need for expedited funding in order to cover certain emergency costs, such as police and fire overtime salaries, urgent debris removal, or shelter operating costs. Cities, counties, and other eligible governmental special districts that have emergency response requirements during a disaster, may be provided state and/or federal funding on an expedited basis. The expedited funding will be based on actual cost expenditures.

Upon a Presidential declaration of a major disaster, DAD will survey eligible applicants to determine the need for such funding. If expedited funding is needed, staff will assist the applicant in submitting the necessary application forms and documenting their actual costs (to date) for eligible emergency activities. DAD will then complete a Project Worksheet (PW), and FEMA will process the application and PW on an expedited basis. Once federal funding is approved, the state will expedite payment through the State Controller's Office. Generally, the entire process is expected to take no more than two weeks. If there is a delay in federal approval of the application or PW, the state may provide the funding.

This process replaces FEMA's "Immediate Needs Funding" that is established as an advance.

Interim and Long-term Housing

DAD will coordinate with appropriate local, state, federal and public and private agencies to address interim and long-term housing needs, as appropriate. Agencies DAD may coordinate with include:

- local community development departments;
 - local landlords and homeowners associations;
 - community based organizations;
 - California Department of Real Estate;
 - Red Cross;
 - FEMA; and
 - U.S. Department of Housing and Urban Development.
-

Continued on next page

Recovery Operations, Continued

Programs Administration and Coordination

DAD staff is responsible for oversight activities of numerous state and federal disaster assistance grant programs to ensure that these programs are implemented in compliance with state and federal mandates. Activities include:

- conducting applicant briefings;
 - monitoring and reporting program performance on a quarterly basis;
 - coordinating with the state departments of Social Services and Mental Health to implement assistance programs for disaster victims;
 - developing and updating special Memoranda of Understanding (MOU) and Memoranda of Agreement (MOA);
 - determining supplemental funding required each fiscal year; and
 - recommending disaster “close-out” based on DAD’s certification of completion of all associated projects.
-

Application Processing

DAD processes applications for state and federal disaster assistance programs. DAD staff also coordinates with other state agencies to process applications for individual assistance. Each grant application, is logged, tracked, reviewed and investigated to determine eligibility for assistance in accordance with state and federal regulations.

Applications are reviewed and analyzed to validate eligible work, to justify cost estimations, and to verify compliance with applicable state and federal laws, regulations, policies, procedures and program guidelines. Types of applications include:

- CDAA “Project Application”;
 - FEMA “Request for Public Assistance”; and
 - FEMA “Request for Fire Management Assistance”.
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Recovery Operations, Continued

Project Worksheet (PW)/ Damage Survey Report (DSR) Processing

The determination of project cost eligibility is based on PWs and DSRs. Initial PWs/DSRs detail the scope of repair work proposed for specific damaged sites that may be eligible for state and/or federal funding. These damage repair estimates may be supplemented as work progresses, to increase funding and reflect any changes to the scope of work previously approved. DSRs are also prepared for the state cost-share for non-FEMA programs such as the Natural Resources Conservation Service (NRCS) and the Federal Highways Administration (FHWA) in accordance with state eligibility criteria. Processing the PWs and DSRs requires that staff:

- conduct kick-off meeting and subsequent site visits;
 - apply pertinent codes and standards;
 - develop damage description, scope of work, and cost estimates utilizing FEMA's Cost Estimating Format (CEF), if appropriate;
 - provide technical, regulatory, and programmatic interpretation;
 - communicate regularly with subgrantees;
 - identify mitigation activities under Section 406 of the Stafford Act; and
 - perform large PW review and small PW validation.
-

Special Considerations

Pursuant to regulations, staff is required to provide technical assistance for federal grant projects. In addition, all grant projects must comply with state and federal laws and regulations. To assist grant applicants, staff must research, review, analyze, and develop reports and recommendations regarding engineering, environmental, historical and insurance related issues. These tasks require close coordination and contact with applicants, FEMA and other appropriate state and local agencies.

It should be noted that an applicant's lack of compliance with state and federal environmental and historical laws and regulations could result in the loss of recovery funds.

Continued on next page

Recovery Operations, Continued

Appeals/Fair Hearings

The state and federal disaster recovery programs provide all applicants, including the grantee and subgrantees, formal processes for disputing decisions made by the State Controller's Office, FEMA Office of Inspector General, OES and/or FEMA regarding disaster assistance program eligibility and requests for reimbursement of disaster related costs, including federal Net Small Project Cost Overruns (NSPOs). All appeals and fair hearings are tracked, researched, and analyzed for program eligibility in accordance with state and federal regulatory deadlines. Federal appeals and state fair hearings provide two levels to overturn a decision. All appeal and fair hearing decisions are documented for consistency of program implementation and to identify the necessity of future policy and procedure modifications.

Project Oversight

Applicants must ensure that projects are completed on an approved schedule and within the scope of the eligible work. To ensure compliance, DAD staff performs oversight activities, including:

- conducting site visits;
 - analyzing project schedules;
 - verifying and updating authorized agent information;
 - providing technical, regulatory, programmatic and legal interpretations;
 - communicating regularly with subgrantees;
 - responding to requests for subgrantee information from legislators, Department of Finance, etc.;
 - preparing special reports in response to information requests;
 - conducting compliance and financial review and analysis; and
 - reviewing, analyzing and preparing recommendations for all subgrantee requests, including:
 - ✓ “Alternate Dispute Resolution;”
 - ✓ change in budget/scope requests;
 - ✓ Improved/Alternate Project requests;
 - ✓ Large Project Monitoring; and
 - ✓ time extension requests.
-

Logistics

General Activities

The activities of the Logistics function include the coordination of facilities, personnel and other services including equipment, supplies, contracts, etc. in support of recovery operations. DAD coordinates with the OES Administration Branch on all logistical matters relating to day-to-day organization and management activities utilizing standard office processes and procedures. Activities include:

- staffing;
- equipment and supplies
- business services; and
- accounting.

In the event of a federal declaration, logistics activities will be performed in cooperation with state and federal agencies.

Staff Activation Team

The Staff Activation Team (SAT) is responsible for deploying DAD staff in support of SOC, DFO, LAC and other disaster-related operations. Activities include:

- coordinating with DAD Duty Officer (DDO)/SCO to establish and maintain a staffing plan/process;
 - establishing purchase orders with vendors for local hotels, transportation, equipment needs, etc.;
 - coordinating lodging and travel arrangements for deployed DAD personnel; and
 - maintaining tracking system to include:
 - ✓ deployment request;
 - ✓ staff deployed; and
 - ✓ deployment dates and location(s).
-

Facilities Coordination

In the event of a Presidential declaration, staff assists FEMA with the establishment of DFOs, DRCs and LACs when warranted. Activities include oversight and coordination of utilities, furniture, and equipment installation. Activities also include coordination and set-up for on- and off-site meetings, conferences, and training including securing the location, and coordinating travel arrangements.

Continued on next page

Logistics, Continued

Staffing Plan

In the event of a Presidential declaration, OES will develop a specific staffing plan based on the magnitude of the disaster or emergency and submit the plan to FEMA. Pursuant to federal requirements, the plan will contain:

- an organizational chart reflecting management and oversight responsibilities of each position;
- a description of position names, titles and functions; and
- the sources of staff to fill these functions.

For those events not requiring a Presidential declaration, OES may develop a staffing plan based on the specifics of the event, such as magnitude, geographical distribution, etc.

Communications

DAD staff and the OES Information Technology (IT) Branch coordinate the internal communication capabilities such as computer networking, messaging system, telephone transferring, etc. IT strives to provide the infrastructure, computer equipment and software necessary to allow the immediate operational capability of the DFO. Additionally, IT ensures that all remote offices such as DFO and LACs are provided with compatible equipment and necessary connectivity capabilities.

Travel/ Transportation

DAD staff secures airline tickets, rental cars and other accommodations necessary to support all recovery operations through the SAT.

Purchasing/ Procurement

To support all recovery programs and DFO operations, staff processes special procurement requests, tracks and maintains physical resources such as projectors, cameras, laptops, copiers, fax machines, printers, etc. DAD staff also coordinates with OES Telecommunications Unit to ensure that DAD staff has adequate access to cell phones, pagers and landlines. Services, training, or consultation work requiring contracts are analyzed for development of scope of work, budget, progress reporting and invoicing requirements.

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Logistics, Continued

Records Management

Staff utilizes conventional filing and electronic systems to ensure that appropriate documentation is maintained. It is critical to the legal mandates of grant management and for grant performance requirements, that all correspondence and records are logged, tracked, indexed and retained to ensure that critical regulatory deadlines for grant-related requests and required performance reports are met. It is also critical, that grant-related information is up-to-date, accurate, readily accessible and stored for use throughout the life of the grant. These activities are also required by federal regulations. Staff performs extensive documentation activities for multiple disasters including:

- data posting;
- quality assurance;
- dissemination of grant information; and
- document tracking.

Records Retention

Pursuant to federal requirements, all documentation associated with each grant will be retained for three years after closeout. To ensure proper accessibility and accountability, all grant-related records and documents are processed, archived and retained in accordance with the OES Records Retention Schedule.

Finance/Administration

General Activities

The activities of the Finance/Administration function include the oversight of DAD's annual budget including:

- tracking, monitoring and preparing financial cost analyses for all expenditures;
 - identifying fiscal needs, including preparation of budget change proposals; and
 - maintaining all financial records, including annual General Fund expenditures and multi-year grant expenditures.
 - processing and submitting OES reimbursement claims to FEMA
-

Accounting of Grant Funds

It is the responsibility of DAD staff to account for grant funds in accordance with state and federal requirements. At the on-set of a state or federal disaster, DAD staff will coordinate with OES Accounting to secure an event-specific "PCA" code. This code enables the correlation of all costs to a specific event in order to:

- track state costs that may be eligible for federal reimbursement;
- request and justify additional General Funds through the Department of Finance and/or the California Legislature;
- provide timely payments to state and federal grant recipients; and
- comply with all state and federal audit requirements.

Fiscal control and accounting procedures utilized by DAD are sufficient to:

- prepare federally mandated reports;
 - document and track actual expenditures, including personnel, travel and contracts;
 - provide a comparison of actual expenditures with budgeted amounts;
 - provide the data necessary to determine reasonableness of costs and eligibility for reimbursement;
 - maintain records of all disbursements and receivables;
 - initiate cash-draw downs only when needed for disbursements; and
 - ensure disbursements are made to subgrantees immediately upon receipt of funds.
-

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Finance/Administration, Continued

Grantee Management Costs

FEMA will reimburse the state a minimum of 75 percent of the total grantee management costs for federal Public Assistance activities including but not limited to:

- payment processing;
- subgrantee cost accounting; and
- automated data processing.

DAD will request reimbursement of grantee management costs documented in the state's time-tracking system. The reimbursement request will be submitted quarterly to FEMA and will contain detailed labor costs for managing each open grant.

Grantee management costs for the Fire Management Assistance Grant Program are not eligible for reimbursement.

Grantee Administrative Costs

FEMA will provide an allowance to the state to cover the extraordinary costs incurred for:

- final inspection reports (FIRs);
- project applications;
- final audits; and
- related field inspections.

These extraordinary costs include overtime pay, per diem and travel expenses. Regular-time salaries for state employees are not an allowable grantee administrative cost. Grantee costs will be calculated by disaster based on percentages of total assistance provided to all subgrantees.

Continued on next page

Finance/Administration, Continued

Cost shares

Reimbursements for the programs administered by DAD are based on the following calculations:

Program	Federal Share	State Share	Local Share
State Public Assistance	n/a	75%	25%
Federal Public Assistance	75%	18.75% (75% of non-federal share) ¹	6.25% (25% of non-federal share)
Federal Fire Management Assistance Grant	75%	n/a	25%

¹State agencies and private non-profit organizations are not eligible for the state share authorized under CDAA. Accordingly, state agencies and private non-profit organizations are responsible for 100 percent of the non-federal share.

NOTE: In some circumstances, special legislation **may** be enacted to increase in the state share to provide up to 100% of the non-federal share, thereby waiving the local share.

Continued on next page

Finance/Administration, Continued

Administrative Allowances

CDAA:

In addition to approved project costs, CDAA provides a 10 percent administrative allowance for each approved Damage Survey Report (DSR) for those events occurring on or after August 30, 2001. For events occurring prior to August 30, 2001, CDAA provides a 4 percent administrative allowance for each approved DSR. The administrative allowance covers the costs of requesting, obtaining, and administering state Public Assistance grants.

Federal Public Assistance:

FEMA provides an administrative allowance that covers costs of requesting, obtaining, and administering federal Public Assistance grants. The administrative allowance is based on the total amount of approved federal assistance and determined using a sliding scale of 0.5 to 3 percent.

Federal Fire Management Assistance Grant:

Rather than an administrative allowance, FEMA allows direct costs for grant administration, which are included on a federal Project Worksheet as an eligible cost.

Retention

Unless a project is 100 percent complete, OES withholds a percentage of approved project costs to avoid overpayments that may result from future or final adjustments. The percentage of retention is typically 10 percent for governmental agencies and 25 percent for PNPs.

Continued on next page

Finance/Administration, Continued

Payment Process

Payments are processed by DAD utilizing an Automated Ledger System (ALS), and issued by the State Controller's Office. DAD strives to issue all payments to applicants **within 30 days of project approval**. DAD provides the applicant a payment notification letter that specifically details reimbursement requirements, including any necessary forms that must be completed before payments are issued.

Although the process may be different for events prior to 2003, the following chart provides a reimbursement summary of current practices:

Scenario	Federal Procedure	State Procedure
Small Project* <100% complete	<i>PA and FMAG:</i> <ul style="list-style-type: none"> Advance federal share and administrative allowance. No retention held. 	<ul style="list-style-type: none"> Advance state share and administrative allowance. Withhold 10% retention until project is 100% complete.
Small Project* 100% complete	<i>PA and FMAG:</i> <ul style="list-style-type: none"> Advance federal share and administrative allowance. No retention held. 	<ul style="list-style-type: none"> Advance state share and administrative allowance. Withhold no retention
Large Project* <100% complete	<i>PA and FMAG:</i> <ul style="list-style-type: none"> Advance administrative allowance only. All other costs (less retention) paid on a reimbursement basis. 	<ul style="list-style-type: none"> Advance administrative allowance only. All other costs (less retention) paid on a reimbursement basis.
Large Project* 100% complete	<i>PA and FMAG:</i> <ul style="list-style-type: none"> Advance federal share and administrative allowance. No retention held. 	<ul style="list-style-type: none"> Advance state share and administrative allowance. Withhold no retention
State only DSRs <100% complete	n/a	<ul style="list-style-type: none"> Advance administrative allowance only. All other costs (less retention) paid on a reimbursement basis.
State only DSRs 100% complete	n/a	<ul style="list-style-type: none"> Advance state share and administrative allowance. Withhold no retention
State cost-share DSRs with other federal programs	For programs such as NRCS and FHWA, the administering agency provides payment directly to the subgrantee.	Once notification is received from the administering agency that a project is 100% complete, DAD will: <ul style="list-style-type: none"> Advance state share and administrative allowance. Withhold no retention.

*The small/large project threshold is adjusted annually by FEMA based on the Consumer Price Index and published in the Federal Register.

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Finance/Administration, Continued

Payment Denial If a request for reimbursement is denied, DAD staff will notify subgrantees in writing **within 30 days of the date of request**. The letter will contain an explanation of the denial.

Applicant Closeout In accordance with state and federal requirements, DAD staff closes and finalizes all grants through specific required processes. These processes include tracking, coordinating, reviewing appropriate documentation, and providing technical assistance regarding program and project requirements to subgrantees and controlling agencies. Staff reviews and provides interpretations of appropriate state and local laws and regulations, conducts site inspections and processes state and federal Final Inspection Reports (FIR). To complete the FIR, staff reviews, analyzes and makes final adjustments of eligible costs of the entire project application. Once the final eligibility recommendations are reconciled, applicant certifications of project completion are provided to the subgrantee and filed with the grant documentation. This triggers DAD's quality control review and transmittal of the federal FIR packages to FEMA for approval. Final payment to the applicant is then processed and documented in accordance with DAD's documented procedures.

Audits DAD ensures that OES, as grantee, complies with all state and federal audit requirements, including those required by the federal Office of the Inspector General (OIG) and the State Controllers Office.

DAD staff also ensures that subgrantees comply with applicable state and federal audit requirements, including the Single Audit Act, as amended. To ensure subgrantee compliance, DAD:

- establishes an event-specific tracking system based on subgrantee name, number, award year, grant type and amount, etc.;
 - advises subgrantees of state and federal requirements;
 - monitors subgrantee activities;
 - issues audit findings;
 - prepares responses to internal audits when necessary; and
 - ensures that OES and the subgrantee take appropriate and timely corrective action if necessary.
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Finance/Administration, Continued

Grant Closure	After all projects have been completed, all appeals have been resolved, and funds have been obligated, DAD will proceed with programmatic closure of the grant pursuant to state and federal requirements. Through DAD, OES awards all declaration-specific grant funds and, in the case of a federal declaration, submits a final expenditure report to FEMA.
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Section 5 – Acronyms and References

Acronyms

The following is a list of acronyms used throughout this document.

ALS	Automated Ledger System
AO	Administrative Order (state agencies)
CalTrans	California Department of Transportation
CBO	Community-Based Organization
CCR	California Code of Regulations
CDAA	California Disaster Assistance Act
CEF	FEMA's Cost Estimating Format
CFR	Code of Federal Regulations
COGO	Continuity of Government Operations
DAD	OES' Disaster Assistance Division
DDO	DAD Duty Officer
DFO	Disaster Field Office
DMH	California Department of Mental Health
DRC	Disaster Recovery Center
DRM	FEMA's Disaster Recovery Manager
DSR	Damage Survey Report
DSS	California Department of Social Services
DUA	Disaster Unemployment Assistance
EDD	California Employment Development Department
EIDL	Economic Injury Disaster Loan Program (SBA)
ESA	California Emergency Services Act
FCO	Federal Coordinating Officer
Federal PA	Federal Public Assistance Program
FEMA	Federal Emergency Management Agency
FEMA CCP	FEMA Crisis Counseling Program
FHWA	Federal Highways Administration
FIR	Final Inspection Report
FMAG	Fire Management Assistance Grant
HMGP	Hazard Mitigation Grant Program
HUD	U.S. Department of Housing and Urban Development
ICS	Incident Command System
IDE	Initial Damage Estimate
IT	OES' Information Technology Branch
IHP	Individuals and Households Program (FEMA)
JIC	Joint Information Center
LAC	Local Assistance Center
NEMIS	National Emergency Management Information System
NRCS	Natural Resource Conservation Service
NSPO	Net Small Project Cost Overruns
OA	Operational Area
OES	Governor's Office of Emergency Services

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Finance/Administration, Continued

Acronyms (continued)

OIG	Federal Office of the Inspector General
PA	Public Assistance
PDA	Preliminary Damage Assessment
PNP	Private Non-profit Organization
PW	Project Worksheet (FEMA term)
REOC	Regional Emergency Operations Center
RIMS	Response Information Management System
SAP	Safety Assessment Program
SAT	The Staff Activation Team
SBA	U.S. Small Business Administration
SCO	State Coordinating Officer
SEMS	Standardized Emergency Management System
SEP	State Emergency Plan
SOC	State Operations Center
SSGP	State Supplemental Grant Program
Stafford Act	Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
State PA	State Public Assistance Program
USACE	U.S. Army Corps of Engineers
USDA	U.S. Department of Agriculture

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Section 5 – Acronyms and References, Continued

References Following is a list of plans, procedures, and guidance documents referenced in this manual:

^I State Emergency Plan

^{II} OES, Strategic Plan, May 1997

^{III} Disaster Assistance Division, Strategic Plan, 2000 – 2005

^{IV} State Hazard Mitigation Plan

^V Donations Management Procedures

^{VI} DMH's Crisis Counseling Plan

^{VII} State Administrative Plans:

- a) All disasters (except the Northridge Earthquake); and
- b) Northridge Earthquake (FEMA-1008-DR)

^{VIII} Procedures for Postearthquake Safety Evaluations of Buildings” (ATC-20)

^{IX} LAC Guide

**Additional
Recovery
Guidance
Documents**

Following is a list of other recovery guidance documents that are not specifically referenced within the text of this manual:

- DFO Procedures
 - Recovery and Mitigation Handbook
 - Disaster Debris Management Statewide Strategy and Guidance for Local Government
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